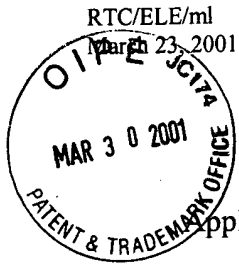


RTC/ELE/ml  
March 23, 2001



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: James F. Munro and John A. Futhey  
Application No.: 09/726,239 Group: 2875  
Filed: November 29, 2000 Examiner:  
For: ASYMMETRIC ALTERNATING PRISM ARRAYS

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231	
on <u>MARCH 26, 2001</u>	<u>Marianne Lentini</u>
Date	Signature
<u>MARIANNE LENTINI</u>	
Typed or printed name of person signing certificate	

REPLY TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In reply to the Notice to File Missing Parts dated March 20, 2001, the following documents and fees are being submitted for filing in the captioned application:

- ☒ **EXECUTED DECLARATION/POWER OF ATTORNEY** - A copy of the Notice is attached.  
(Separate transmittal letter and postcard not required)
- ☒ **FILING FEE** - with Fee Transmittal for Patent Applications in duplicate.  
(Separate transmittal letter and postcard not required)
- ☒ **SURCHARGE** - surcharge fee of \$65.00.  
(Separate transmittal letter and postcard not required)
- ☐ **SEQUENCE LISTING** - Filed concurrently and is attached.  
(Separate transmittal letter and postcard required)



09/726,239

-2-

☐ **PETITION FOR EXTENSION OF TIME**

☐ Applicant hereby petitions to extend the time to respond to the Notice to File Missing Parts dated [ ] for [ ] month(s) from [ ] to [ ].  
The appropriate fee of \$[ ] is included in the enclosed check.

☐ A [ ] month extension of time to respond to the Notice to File Missing Parts dated [ ] was filed on [ ] with payment of a \$[ ] fee.

☐ Applicant hereby petitions for an additional [ ] month extension of time to respond to the Notice to File Missing Parts. The appropriate fee of \$[ ] is included in the enclosed check.

*(Separate Petition for Extension of Time and postcard not required)*

☐ **REQUEST FOR CORRECTED FILING RECEIPT** - Filed concurrently and is attached.

*(Separate transmittal letter and postcard required)*

☒ **STATEMENT CLAIMING SMALL ENTITY STATUS**

☐ Was filed on [ ].

☒ Is enclosed herewith.  
*(Separate transmittal letter and postcard not required)*

☐ In view of the small entity status of the captioned application, we hereby request a reimbursement of 50% of the filing fees in the amount of \$[ ] which were paid on [ ] to be deposited in Deposit Account No. 08-0380.

The fees required for filing the indicated documents are enclosed in the form of a check in the total amount of \$586.00. Please charge any deficiency or credit any overpayment in the fees that may be due in this matter to Deposit Account No. 08-0380. A copy of this letter is enclosed for accounting purposes.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By Erik L. Ence  
Erik L. Ence  
Registration No. 42,511  
Tel.: (781) 861-6240  
Fax: (781) 861-9540

Lexington, Massachusetts 02421-4799  
Date: March 26, 2001

#3

**FEE TRANSMITTAL FOR  
PATENT APPLICATIONS**

Attorney Docket Number	1571.2001-002
Application Number	09/726,239
First Named Inventor	James F. Munro

**CLAIM CALCULATION** (includes any preliminary amendment)

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
TOTAL CLAIMS (37 CFR 1.16(c) or (j))	34	- 20* =	14	x \$ 18 =	\$ 252
INDEPENDENT CLAIMS (37 CFR 1.16(b) or (i))	4	- 3** =	1	x \$ 80 =	\$ 80
MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))				+ \$ 270 =	\$
				BASIC FEE (37 CFR 1.16(a) or (h))	\$ 710
				Total of above Calculations =	\$ 1042
				Reduction by 50% for filing by small entity (37 CFR 1.9, 1.27, 1.28) =	\$ 521
				TOTAL =	\$ 521
				Surcharge - Late Filing of Declaration or Filing Fees (37 C.F.R. 1.16(e)) =	\$ 65
				Petition for Extension of Time Fee (37 C.F.R. 1.17) =	\$ 0
				Assignment Recordation Fee = (only when filed with application)	\$ 0
				TOTAL =	\$ 586

\* Reissue claims in excess of 20 and over original patent  
\*\* Reissue independent claims over original patent

1. Small entity status:

- a. ☒ A small entity statement is enclosed.
- b. ☐ A small entity statement was filed in the prior non-provisional application and such status is still proper and desired.
- c. ☐ Is no longer claimed.

2. ☒ A general authorization is hereby granted to charge deposit account number 08-0380 for any fees required under 37 CFR 1.16 and 1.17 in order to maintain pendency of this application. A copy of this authorization is enclosed for accounting purposes.

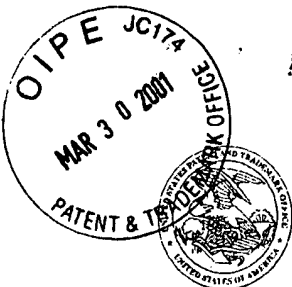
3. ☒ A check is enclosed for \$586.00. ☐ Please charge \$[ ] to Deposit Account No. 08-0380.

4. ☐ Other: \_\_\_\_\_

Signature	<i>Erik L. Ence</i>	Date	March 26, 2001
Submitted by Typed or Printed Name	Erik L. Ence	Reg. Number	42,511

Sector

#3



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/726,239	11/29/2000	James F. Munro	1571.2001-002

## FORMALITIES LETTER



\*OC000000005883646\*

Robert T Conway Esq  
Hamilton Brook Smith & Reynolds P C  
Two Militia Drive  
Lexington, MA 02421-4799

Date Mailed: 03/20/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

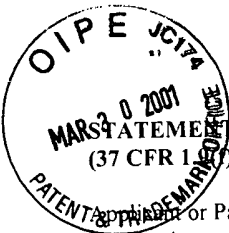
- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$332.
  - \$252 for 14 total claims over 20.
  - \$80 for 1 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1172.

A copy of this notice **MUST** be returned with the reply.

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

04/02/2001 SSESHE1 000000008 0976239  
335.00 00 00 00 00  
125.00 00 00 00 00  
40.00 00 00 00 00  
60.00 00 00 00 00  
01 FC:201  
02 FC:203  
03 FC:202  
04 FC:205



STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.27) & 1.27(c)-SMALL BUSINESS CONCERN

DOCKET NUMBER: 1571.2001-002

Applicant or Patentee: James F. Munro and John A. Futhey  
Application or Patent No.: 09/726,239  
Filed or Issued: November 29, 2000  
Title: Asymmetric Alternating Prism Arrays

I hereby state that I am  
☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Reflexite Corporation  
ADDRESS OF SMALL BUSINESS CONCERN 120 Darling Drive  
Avon, Connecticut 06001-4217

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416 or you may call 202-205-6618.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate statements as to their status as small entities. No rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.  
☐ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Robert B. Nilsen  
TITLE OF PERSON IF OTHER THAN OWNER Vice President, Technology  
ADDRESS OF PERSON SIGNING 120 Darling Drive, Avon, Connecticut 06001-4217  
SIGNATURE Robert B. Nilsen DATE March 7, 2001